

Please Direct All Correspondence to Customer Number **20995**

**AMENDMENT / RESPONSE TRANSMITTAL**

Applicant : James E. Malackowski, et al.  
 App. No : 09/814,547  
 Filed : March 22, 2001  
 For : SYSTEM FOR AND METHOD OF  
 RISK MINIMIZATION AND  
 ENHANCED RETURNS IN AN  
 INTELLECTUAL CAPITAL BASED  
 VENTURE INVESTMENT  
 Examiner : D. Kesack  
 Art Unit : 3624

**CERTIFICATE OF EFS WEB  
TRANSMISSION**

I hereby certify that this correspondence, and any other attachment noted on the automated Acknowledgement Receipt, is being transmitted from within the Pacific Time zone to the Commissioner for Patents via the EFS Web server on:

6/21/2007

(Date)

Thomas Y. Yee, Reg. No. 57,013

**Mail Stop Amendment**

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing in the above-identified application are the following enclosures:

(X) Amendment and Response to Office Action in 11 pages.

The fee has been calculated as shown below:

The present application qualifies for Small Entity Status under 37 CFR 1.27.

| FEE CALCULATION                      |            |              |             |            |
|--------------------------------------|------------|--------------|-------------|------------|
| FEE TYPE                             |            | FEE CODE     | CALCULATION | TOTAL      |
| Excess Claims                        | 8 - 22 = 0 | 2202 (\$25)  | 0 x 25 =    | \$0        |
| Excess Independent                   | 2 - 3 = 0  | 2201 (\$100) | 0 x 100 =   | \$0        |
| Multiple Claim                       | 1.16(j)    | 2203 (\$180) |             | \$0        |
| 1 Month Extension                    | 1.17(a)(1) | 2251 (\$60)  |             | \$0        |
| 2 Month Extension                    | 1.17(a)(2) | 2252 (\$225) |             | \$         |
| 3 Month Extension                    | 1.17(a)(3) | 2253 (\$510) |             | \$         |
| Information Disclosure Statement Fee | 1.17(p)    | 1806 (\$180) |             | \$         |
| <b>TOTAL FEE DUE</b>                 |            |              |             | <b>\$0</b> |

Docket No.: OTOM.014A  
App. No.: 09/814,547


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- (X) Calculated Fees will be paid via EFS Web.  
Extension of time is requested by payment of any extension fee.

Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.



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Thomas Y. Yee  
Registration No. 57,013  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

PAT-AMENDTRANS

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